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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/383,279	08/26/1999	BRIAN K. WHARTON	214014600004	6359

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EXAMINER

FADOK, MARK A

ART UNIT	PAPER NUMBER
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2165

DATE MAILED: 03/22/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/383,279

Applicant(s)

WHARTON, BRIAN K.

Examiner

Mark A Fadok

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☐ Responsive to communication(s) filed on _____.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☐ Claim(s) _____ is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-18 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 26 August 1999 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 5.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). _____.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other:

DETAILED ACTION

Claim Rejections - 35 USC § 102

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. **Claims 1-18 are rejected under 35 U.S.C. 102(b) as being anticipated by Chelliah et al (5,710,887).**

3. In response to claim 1, Chelliah discloses an E-Commerce system, comprising: a plurality of vendor commerce systems (col. 8, lines 18-34); a plurality of back-end processing systems for processing transaction requests generated by the plurality of vendor commerce systems (col. 28, lines 20-34); and a transaction processor coupled between the plurality of vendor commerce systems and the plurality of back-end processing systems (**FIG 1**), wherein the transaction processor includes a global shopping basket for storing transaction information generated by the plurality of vendor commerce systems (col. 14, lines 63-67 and col. 15, lines 1-5), and a back-end processor interface for processing and routing the stored transaction requests to the plurality of back-end processing systems (**FIG 8**).

4. In response to claim 2, Chelliah teaches an E-Commerce portal coupled to the plurality of vendor commerce systems (**FIG 1, Item 22**).

5. In response to claim 3, Chelliah teaches wherein the plurality of vendor commerce systems include: a local catalog of products and a local shopping basket. Chelliah teaches a catalog and shopping cart (col. 26, lines 35-53) and the ability to create combinations to internalize or externalize the process based on the customers needs (col. 28, lines 20-34). Therefore, the catalog and shopping basket "cart" can be located at the vendors commerce system if desired.

6. In response to claim 4, Chelliah teaches wherein the plurality of vendor commerce systems further include: a local customer directory and local workflow rules. Chelliah teaches a directory and workflow rules (col. 26, lines 35-53 and FIGs 8a and 8b) and the ability to create combinations to internalize or externalize the process based on the customers needs (col. 28, lines 20-34). Therefore, the directory and local workflow rules can be located at the vendors commerce system if desired.

7. In response to claim 5, Chelliah teaches a transaction interface implemented at the plurality of vendor commerce systems and at the transaction processor (**FIG 2**), wherein the transaction interface generates a transaction packet having a predefined format each time a customer using the E-Commerce system purchases a product at one of the vendor commerce systems, the transaction packet being transmitted from the vendor commerce system where the purchase is made by the customer to the transaction processor, where it is stored in the global basket (See response to claim 3, FIG 8, col. 25, lines 17-67, col. 26, lines 1-67 and col. 27, lines 1-21) .

8. In response to claim 6, Chelliah teaches wherein the format of the transaction packet includes: an order header including: customer authentication information;

merchant authentication information; a time stamp; and one or more order entry items (col. 25, lines 17-67, col. 26, lines 1-67 and col. 27, lines 1-21).

9. In response to claim 7, Chelliah teaches wherein the vendor commerce systems are coupled to the transaction processor via the Internet (col. 6, lines 13-25).

10. In response to claim 8, Chelliah teaches wherein the back-end processing systems include a plurality of payment verification systems (col. 3, lines 66, 67 and col. 4, lines 1-15).

11. In response to claim 9, Chelliah teaches wherein the back-end processing systems include: a plurality of payment verification systems; an accounting/billing system; and one or more order fulfillment systems.

12. In response to claim 10, Chelliah teaches a payment proxy system coupled between the transaction processor and the plurality of payment verification systems (See response to claim 9 and **FIG 2**).

13. In response to claim 11, Chelliah teaches a merchant database and a transaction capture database coupled to the payment proxy system, wherein the merchant database stores merchant-specific payment verification rules, and the transaction capture database stores information regarding the transactions verified via the payment proxy system (FIG 2, col. 15, lines 43-67, col. 16, lines 1-67, and col. 17, lines 1-67).

14. In response to claim 12, Chelliah teaches a customer database coupled to the transaction processor (abstract), wherein the customer database stores customer-specific transaction processing rules that instruct the transaction processor how to process a transaction for a particular customer; and a merchant database

coupled to the transaction processor, wherein the merchant database stores merchant-specific transaction processing rules that instruct the transaction processor how to process a transaction for a particular merchant (col. 1, lines 28-47).

15. In response to claim 13, Chelliah teaches wherein one of the customer database or merchant database include runtime scripting information for determining, in real-time, how to process a particular transaction generated by a particular customer or merchant (col. 15, lines 43 and col. 16, lines 1-67).

16. In response to claim 14, Chelliah teaches wherein the payment proxy system includes: a payment proxy interface for communicating information to and from the transaction processor; runtime payment logic for determining, in real-time, how to process a particular transaction request transmitted to the payment proxy from the transaction processor; and a plurality of payment connection modules coupled to the runtime payment logic for interfacing the transaction request to one of a plurality of payment verification systems (FIGs 8, 8a, 8b, col. 15, lines 43, col. 16, lines 1-67, col. 17, lines 1-45).

17. In response to claim 15, Chelliah discloses a method of conducting E-Commerce, comprising the steps of: (A) connecting to an E-Commerce portal (**Item 26**); (B) linking from the E-Commerce portal to a vendor commerce system associated with the E-Commerce portal (**Item 22**); (C) browsing a local catalog of products stored at the vendor commerce system and selecting a particular product for purchase (See response to claim 3); (D) transmitting a transaction packet from the vendor commerce system to a common transaction processing system via the Internet, and storing the

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transaction packet in a global shopping basket (see response to claim 5); (E) returning to step (A) and repeating steps (B), (C) and (D) until no additional products are to be purchased (col. 15, lines 6-23); (F) segmenting the transaction packet information stored in the global shopping basket and aggregating individual product order items by vendor (col. 27, lines 51-59); (G) processing the individual product order items for each vendor at the transaction processing system by communicating transaction information between the transaction processing system and a plurality of back-end processing systems (see response to claim 14).

18. In response to claim 16, Chelliah teaches wherein the processing step (G), further comprises the steps of.

(G)(1) querying a vendor database to obtain vendor-specific processing rules used by the transaction processing system to process the transaction order items for a particular vendor (col. 15, lines 6-23); and

(G)(2) querying a customer database to obtain customer-specific processing rules used by the transaction processing system to process the transaction order items for a particular customer (col. 4, lines 49-59).

19. In response to claim 17, Chelliah discloses a payment proxy system for use with an online transaction processor, comprising: a payment proxy interface for communicating information to and from the transaction processor; runtime payment logic for determining, in real-time, how to process a particular transaction request transmitted to the payment proxy from the transaction processor; and a plurality of payment connection modules coupled to the runtime payment logic for interfacing the

transaction request to one of a plurality of payment verification systems (**FIGs 8, 8a, 8b**, col. 15, lines 43, col. 16, lines 1-67, col. 17, lines 1-45).


20. In response to claim 18, Chelliah discloses an E-Commerce framework, comprising: a plurality of vendor commerce systems linked to a common E-Commerce portal (**FIG 1**), wherein each vendor commerce system includes a local product catalog and a local shopping basket (See response to claim 3); a transaction processor linked to the E-Commerce portal via a computer network (**FIG 2**), the transaction processor having a global shopping basket and an interface for communicating transaction information between the local shopping baskets of the vendor commerce systems and the global shopping basket of the transaction processor (See response to claims 3 and 16); a plurality of payment verification systems for authenticating transaction requests generated by the transaction processor when a customer of the framework engages a global checkout function (**FIGs 8, 8a, 8b**, col. 15, lines 43, col. 16, lines 1-67, col. 17, lines 1-45); and a payment proxy system coupled between the transaction processor and the plurality of payment verification systems for transmitting transaction requests generated by the transaction processor to the appropriate payment verification system (See response to claim 10).


Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Mark A Fadok whose telephone number is (703) 605-4252. The examiner can normally be reached on Monday to Friday 8:00 - 4:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Wynn Coggins can be reached on (703) 308-1344. The fax phone numbers for the organization where this application or proceeding is assigned are (703) 746-7239 for regular communications and (703) 746-7238 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-3900.


Mark Fadok
March 19, 2002


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